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PTO/SB/05 (11-00)  
Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. **HYZ-069CN**  
First Inventor **Agrawal**  
Title **Novel HIV-Specific Oligonucleotides And ...**  
Express Mail Label No. **EL540702147US**

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages **63**]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **3**]
5. Oath or Declaration [Total Pages **1**]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☒ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: **08 / 914827**

Group Art Unit: **1635**

Prior application information:

Examiner **Shibuya, M.**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☒ Correspondence address below

Name **Ann-Louise Kerner, Ph.D.**  
Address **Hale and Dorr LLP**  
**60 State Street**  
City **Boston** State **Massachusetts** Zip Code **02109-1816**  
Country **US** Telephone **(617) 526-6000** Fax **(617) 526-5000**

Name (Print/Type) **Ann-Louise Kerner, Ph.D.** Registration No. (Attorney/Agent) **33,523**  
Signature **Ann-Louise Kerner** Date **04/18/01**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

11046 U.S. PTO  
09/837806

04/18/01

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

**TOTAL AMOUNT OF PAYMENT**

(\$) 971.00

**Complete if Known**

Application Number	TBA
Filing Date	April 18, 2001
First Named Inventor	Kandimalla et al.
Examiner Name	TBA
Group Art Unit	TBA
Attorney Docket No.	HYZ-069 CN/ 47508.407CN

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number	08-0219
Deposit Account Name	Hale and Dorr LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

- 2.
- ☐
- Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
101	710	201	355	Utility filing fee	355.00
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

**SUBTOTAL (1)** (\$) 355.00**2. EXTRA CLAIM FEES**

Total Claims		Extra Claims		Fee from below		Fee Paid	
39	-20** =	19	x	9	=	171.00	
1	-3** =	0	x	0	=	0	
Independent Claims							
Multiple Dependent							

Large Entity		Small Entity		Fee Description
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2)** (\$) 171.00

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code (\$)	Fee Code (\$)	Fee Code (\$)	Fee Code (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	390	216	195	Extension for reply within second month	445.00
117	890	217	445	Extension for reply within third month	
118	1,390	218	695	Extension for reply within fourth month	
128	1,890	228	945	Extension for reply within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR § 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$) 445.00**SUBMITTED BY**

Name (Print/Type) Ann-Louise Kerner, Ph.D.

Registration No.  
(Attorney/Agent)

33,523

**Complete (if applicable)**

Telephone 617-526-6000

Date 04/18/01

Signature

Ann-Louise Kerner

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

04/18/01  
J1093 U.S. PTO

J1046 U.S. PTO  
09/837806  
04/18/01

APPLICANT:	Agrawal	GROUP:	TBA
SERIAL NO.:	TBA	EXAMINER:	TBA
DOCKET NO.:	HYZ-069 CN		
FILING DATE:	April 18, 2001		
TITLE:	NOVEL HIV-SPECIFIC OLIGONUCLEOTIDES AND METHODS OF THEIR USE		

CERTIFICATE OF MAILING (37 C.F.R. § 1.10)

I hereby certify that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office to Addressee" Service under 37 CFR 1.110 on April 18, 2001 and is addressed to : **BOX PATENT APPLICATION**, Assistant Commissioner for Patents, Washington, D.C. 20231

EL540702147US  
"Express Mail Label No."

By: S.L.K.  
Sandhya L. Kalkunte

**BOX PATENT APPLICATION**  
Assistant Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

Dear Assistant Commissioner for Patents:

Enclosed herewith for appropriate action are the following items:

- Continuing Utility Patent Application Transmittal Sheet;
- Application entitled "NOVEL HIV-SPECIFIC OLIGONUCLEOTIDES AND METHODS OF THEIR USE," and naming inventor Sudhir Agrawal, consisting of 63 pages, including:
  - 56 pages of the specification (pages 1-56; sequence listing -pages 53-56);
  - 6 pages of claims (39 claims);
  - 1 page of the abstract; and
  - 3 pages of formal drawings (Figures 1-3).

04/23/2001 HNDHAMM1 09000037 080219 09837806  
03 FC:217 445.00 CH

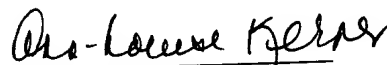
Adjustment date: 12/27/2001 HPRASASO  
04/22/2001 HNDHAMM1 00000037 080219 09837806  
03 FC:217 445.00 CR

4. Preliminary Amendment;
5. Copy of executed Declaration and Power of Attorney for Utility Patent Application (37 CFR 1.63);
- ✓ 6. Copy of recorded Assignment (Assignment and cover sheet);
7. Copy of Verified Small Entity Statement (37 CFR 1.27(c) and 1.9(f));
8. Return postcard.

Please charge our Deposit Account No. 08-0219 the required filing fee for a small entity of \$971.00. In addition, please charge any fees or credit any overpayment to Deposit Account No. 08-0219.

Respectfully submitted,

HALE AND DORR LLP



Ann-Louise Kerner, Ph.D.  
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Boston, MA 02109  
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Date: April 18, 2001